

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Takeshi TAKAMORI :
Serial No. NEW : **Attn: APPLICATION BRANCH**
Filed January 29, 2004 : Attorney Docket No. 2004-0116A
OPTICAL MODULE

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicant requests consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference listed below is enclosed, except a copy is not provided for each U.S. Patent and/or U.S. patent publication reference.

- 1a. ☒ This Information Disclosure Statement is submitted:
- within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**
- before the mailing date of the first Office Action on the merits,
- and thus no certification and/or fee is required.**
- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

a. ☒ a full or partial English language translation submitted herewith,

- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☒ the concise explanation contained in the specification of the present application at pages 3 & 4,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Takeshi TAKAMORI

By 

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THE COMMISSIONER IS AUTHORIZED
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FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: January 29, 2004

ATTY DOCKET NO.
2004-0116ASERIAL NO.
NEWAPPLICANT
Takeshi TAKAMORIFILING DATE
January 29, 2004

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,611,006	3/1997	Tabuchi			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	11-218651	8/1999	JP			X	
	AK	2002-328204	11/2002	JP			X	
	AL							
	AM							
	AN							

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	Masahiro OGUSU et al., "Receptacle-Type Bi-directional WDM Module I", The Institute of Electronics, Information and Communication Engineers, Electronics Society in 1996, pg. 208.
	AP	Sadayuki MIYATA et al., "SC-type Hybrid Optical Module Integrating LD, PD and Coupler", The Institute of Electronics, Information and Communication Engineers, Electronics Society in 1997, pg. 195.
	AQ	T. UNO et al., "Hybridly integrated LD/PD module with passive-alignment technology", The Institute of Electronics, Information and Communication Engineers, Electronics Society in 1997, pg. 198.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.